



## Reference Manual

FAMILIARIZATION  
TRAINING FOR  
SUPERVISORS AND  
MANAGERS ON THE  
HEAR PROCESS

**Final Version 10-10-2012**



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# Introduction

## Purpose

This training will introduce City of Houston supervisors and managers to the Houston Employee Assessment and Review (HEAR) process, guiding principles, and governance.

Participants will be guided through the development of SMART goals that ensure organizational alignment throughout the department. This training also incorporates best practices intended to increase supervisor-employee engagement through on-going communication, effective coaching, and feedback.

## Objectives

The primary objective of this training is to familiarize participants with the HEAR process in such a manner that at the end of this training they will be able to:

- Cite the governing authorities and supplemental guidelines that support the HEAR process
- Understand those activities that supervisors and managers will be required to “stop doing”, “start doing”, and “continue to do” relative to the EPE system and the HEAR processes.
- Develop SMART goals that align with departmental goals
- Understand the importance of using feedback and coaching techniques to engage employees in the HEAR process and open channels of two-way communication

notes

## Module One – The HEAR and Now

### Background

In the 2011 Meet and Confer Agreement negotiations between the Houston Organization of Public Employees (HOPE) and the City of Houston (COH), HOPE brought forth a need for Employee Performance Evaluation (EPE) reform.

This reform was characterized as a system (process) that is *“fair and objective in its evaluation of performance, transparent in implementation, and has on-going communication to provide increased opportunities to improve performance”*.

A task force was established to analyze the effectiveness of the existing EPE system, establish guiding principles, and provide recommendations to the Labor Management Cooperation Council (LMCC) based on their findings. The following guiding principles were set forth to develop a process that:

- Establishes performance expectations and developmental opportunities
- Aligns strategic goals, business plans, and balanced scorecard
- Requires supervisors to establish SMART performance goals and objectives
- Promotes ongoing feedback and communication of performance
- Keeps the process simple and positive

As a result, the director of the Human Resources department deployed a performance management project team to implement the new HEAR process and application across all departments.

notes

## What's In a Name?

For any change of culture to be successful, there must be buy-in on behalf of all stakeholders within its organization, which, in this case, includes the entire City of Houston - from the employee to the Mayor.

A city-wide re-branding campaign was launched as an important first step to gain buy-in, communicate the new performance management process, and bring forth the necessary cultural change. As a result, Houston Employee Assessment and Review (HEAR) process was born.



HEAR is a new way of conducting employee assessments that will set a clear expectation for employees and supervisors, establish SMART goals, provide continual feedback, and show employees how they contribute to the city's overall performance and goals; and positively influence the culture and employee motivation to make the City of Houston a career, not just a job.

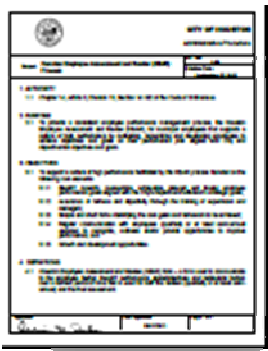
While many valuable features of the current evaluation system were retained, we will no longer refer to the City of Houston's performance management process as the *Employee Performance Evaluation*, formerly known as EPE.

notes

## HEAR Governing Authorities

Formerly, the EPE system was governed by Mayor's Policy 112 (Job Performance Review) and 115 (Employee Performance Management Process), as supplemental documentation to Chapter 14, Article II, Division 13, Section 14-162 of the Code of Ordinances.

However, guiding principles were later formed, and the enhanced HEAR performance management process was developed. As a result, the City of Houston Employee Performance Evaluation Guidelines were superseded by the HEAR Guidelines, and a new policy, Administrative Procedure 3-20 (AP 3-20), was established as the governing authority over the HEAR process.



The purpose of AP 3-20 is to provide a consistent employee performance management process for municipal employees that supports a culture of high performance by motivating, recognizing and developing employees to achieve objectives and goals on their performance plan aligned with City and departmental objectives and goals.

The objectives of the HEAR guidelines, which are supplemental to AP 3-20, is to explain the core elements of the HEAR process, general requirements, key considerations for a successful assessment, roles and responsibilities, and assessment schedule. **Note:** The HEAR Guidelines was not established as a policy document.

The guidelines provide details on the major steps of the HEAR process, which include:

- Familiarizing the employee with the HEAR process
- Preparing the documentation associated with the process
- Procedures for conducting the work progress meeting
- Recommendations on how to complete the HEAR process



notes

## HEAR Core Elements & General Requirements

The aim of the HEAR process is to support a culture of high performance based on particular core elements and general requirements; which supervisory personnel are obligated to advance. These commitments include the following:

### Core Elements

- Setting clear expectations for employees.
- Establishing specific, measurable, achievable, relevant, and time-based (SMART) goals and objectives.
- Providing ongoing feedback to let employees know how they are doing in their job performance, including recognition of achievements and/or opportunities for improvement.
- Enabling employees to see how they contribute to the City's performance and achievement of its goals.
- Identifying professional growth and development opportunities.

### General Requirements

- Align employee goals with city and departmental goals
- Align employee behavioral factors with departmental core values
- Establish SMART goals to communicate performance standards
- Document specific examples that support ratings
- Follow the established appeal processes to allow employees to address ratings of 2.99 and below
- Participate in training on the HEAR process

notes

## HEAR Accountabilities – Who’s On First?

At least four people are involved in the HEAR process: in order to create the HEAR plan, the **supervisor/manager** (hereafter referred to as supervisor) coordinates with the **reviewing authority** and the **employee** to develop SMART goals and select behavioral factors based on the department goals and objectives developed by the **department director**.

### Supervisor / Manager Roles & Responsibilities

Each employee has certain tasks which he or she is expected to perform. As the supervisor, your responsibilities include meeting with the employee to determine the **four most critical** goals and objectives that align with the strategic goals of the division/department. These goals/objectives will be converted into SMART goals to be used during the planning session.



In addition to the SMART goals, the top four (most applicable) of nineteen behavioral factors are to be selected for each employee. These may reflect some of the core values established for your department. If the employee is a supervisor, four supervisor/manager behavioral factors should also be chosen.

Once the SMART goals and behavioral factors are decided upon by the employee and supervisor and approved by the reviewing authority, the HEAR plan form can be completed.

All employees must have a written plan form within thirty (30) days of the following events:

- ✓ Hire or rehire date
- ✓ Beginning of the assessment and review period
- ✓ Date of promotion

In addition to completing the HEAR plan, the supervisor is responsible for periodically observing and documenting the work of his or her direct reports, conducting work progress meetings, providing professional growth and development opportunities, and completing and conducting the HEAR meeting. The supervisor should also meet at least twice per year with the reviewing authority to discuss HEARs.

notes

## *HEAR Accountabilities – Who’s On First?* (continued)

The following individual roles and responsibilities are taken from page 6 of the HEAR guidelines:

### Employee Roles & Responsibilities

- Suggest, discuss, and accept SMART goals and behavioral factors on the plan form during the planning session
- Review and sign the current year’s HEAR plan
- Provide input to supervisor or manager on his or her achievements
- Be open to feedback and follow-through on development and growth suggestions
- Review and sign the current year’s HEAR assessment

### Supervisor’s Roles & Responsibilities

- Complete the HEAR process according to these guidelines
- Ensure objective rating criteria by developing SMART goals and behavioral factors, which are aligned with the department strategic goals
- Prepare and discuss the HEAR plan form with the employee
- Provide feedback at least two (2) times per year using the plan form as a basis for the assessment
- Maintain complete documentation on employee performance
- Take appropriate steps to maintain effective levels of performance (including coaching, counseling, training, etc.)
- Identify professional growth and development opportunities
- Keep current on HEAR training
- Meet at least twice a year with reviewing authority to discuss HEAR progress

### Reviewing Authority Roles & Responsibilities

- Ensure goals and behavioral factors are objective by following the SMART criteria
- Standardize weights and ratings when and where appropriate
- Address and resolve any concerns about weights and/or ratings with the supervisor.
  - Verify that the supervisor’s documentation supports the rating or weight; if not, propose an appropriate rating or weight for the supervisor’s consideration.
  - Work with the supervisor to reach an agreement before the employee receives the plan or assessment.
- Keep current on HEAR training
- Meet at least twice a year with supervisors to discuss HEARs

### Department Director Roles & Responsibilities

- Establish strategic departmental goals and objectives each year to be used as a baseline for alignment with division and employee goals
- Ensure departmental compliance with the objectives and procedures of the HEAR process

## Activity – Name That Role / Responsibility

Check all that apply. <b>E</b> =Employee <b>S</b> =Supervisor/Manager <b>R</b> =Reviewing Authority <b>D</b> =Director					
	<b>E</b>	<b>S</b>	<b>R</b>	<b>D</b>	<b>Responsibilities</b>
1.					Address and resolve any concerns about weights and/or ratings. Verify that the documentation supports the rating or weight; if not, propose an appropriate rating or weight for consideration.
2.					Be open and willing to accept feedback and follow-through on development and growth suggestions
3.					Provide professional growth and development opportunities
4.					Be willing to suggest, discuss, and accept SMART goals and behavioral factors on the plan form
5.					Complete the HEAR process according to these guidelines
6.					Ensure objective rating criteria by developing SMART goals and behavioral factors, which are aligned with departmental strategic goals
7.					Provide input on his or her achievements
8.					Establish strategic departmental goals and objectives each year
9.					Keep current on HEAR training
10.					Maintain complete documentation on employee performance
11.					Meet at least twice a year to discuss HEARs
12.					Prepare and discuss the HEAR plan form
13.					Ensure departmental compliance with the objectives and procedures of the HEAR process
14.					Provide feedback at least two (2) times per year using the plan form as a basis for the assessment
15.					Review and sign the current year's HEAR form
16.					Ensure goals and behavioral factors are objective by following the SMART criteria
17.					Review and sign the current year's HEAR plan
18.					Standardize weights and ratings when and where appropriate
19.					Take appropriate steps to maintain effective levels of performance (including coaching, counseling, training, etc.)
					<b>TOTALS</b>

## Dynamics of an Effective HEAR Process

The HEAR plan is a working agreement developed in the meeting between the employee and supervisor to outline the major tasks and responsibilities and serves as a communication tool throughout the HEAR process.

An effective plan involves input from the employee, supervisor, and as necessary, the reviewing authority to ensure that SMART goals/objectives align with organizational goals, and expectations are communicated. Knowing when to conduct the HEAR assessment and review is also an important aspect of the process, as outlined below.

### *The HEAR Assessment Schedule*

Supervisors and managers must complete an assessment during various times of the year. Determine the length of the assessment period (the period of time that the goals/objectives address). The table below outlines the assessment schedule for City of Houston employees based on the frequency and reason for completing the HEAR:


SCHEDULE FOR COMPLETING THE HEAR:	
REASON FOR ASSESSMENT	FREQUENCY
Employee probationary period	5 <sup>TH</sup> AND 11 <sup>TH</sup> MONTHS
Annual assessment period (non-supervisor)	APRIL
Annual assessment period (supervisors & managers)	MAY
Following a promotion	5 <sup>TH</sup> MONTH
Employee changes supervisors or tasks	UNSCHEDULED*
At the supervisor's discretion, following a significant improvement or deterioration in performance	


notes

## More on the HEAR Assessment Schedule...

\*Often extenuating circumstances occur which may not fit the criteria or typical schedule for conducting an assessment. Complete an **unscheduled assessment** if the following conditions exist:

1. **An overall performance rating of “below expectations”.**
  - If this is the case, be sure to re-assess within 120 days or at the discretion of the director.
2. **The employee’s supervisor changes the tasks, weights, goals, or behavioral factors previously accepted by the employee.**
3. **The employee is reassigned to a new supervisor.**
  - If this is the case, the employee’s former supervisor should complete a HEAR based on his/her observation of the employee’s performance.
  - The new supervisor must then complete a new plan form on the new employee or affirm the current plan form.
4. **The workcenter operates on scheduled rotations or shift work**
  - If this is the case, the department may choose to set its own guidelines regarding unscheduled HEARs.

 **Make a Note:** An unscheduled HEAR should not be completed sooner than ninety (90) days after presenting the plan form to the employee. Exceptions may be granted at the discretion of the department director or designee.

 **What should I do if I want to change or reaffirm a previous HEAR plan form?**

**Answer:** To change or reaffirm previous HEAR plan forms, supervisors must do the following:

- Schedule a meeting with the reviewing authority to review the changes
- Schedule a meeting with the employee and discuss the changed or reaffirmed plan form
- Document any changes on the existing plan form
- Initial all documented changes and request the employee to do the same
- Together with the employee, sign and date the HEAR plan form
- Give the employee a copy
- Keep a copy of the current plan form in your files

notes

## A Fresh Perspective on Establishing SMART Goals

**Dictionary definition of a goal:** "...the objective toward which an endeavor is directed; ...something that somebody wants to achieve".

An organization in which every employee understands and acts upon his or her part in achieving the business strategy; and whereby each person is moving in the same direction, is unstoppable. This is the making of a high performing organization! It also forms the rationale for why an organizational focus on goal setting is so critical.

Goals launch the annual performance journey and are the mechanisms by which the department delivers results against its strategy. Goal setting is critical to employees and their managers. A Gallup poll found that when employees know what is expected of them at work they remain engaged in their work.

In "A Theory of Goal Setting & Task Performance", authors Edwin A. Latham and Gary P. Latham cited research showing that specific and challenging goals led to better task performance than vague or easy goals. They not only confirmed the link between goals and performance at work, but went on to outline five characteristics of an effective approach to goals setting: clarity, challenge, commitment, feedback, and task complexity. Ultimately, these principles evolved into the SMART approach that organizations are still refining today, defined as follows:



**Specific**— Specific in this context means that an action or behavior is detailed, particular, or focused, and everyone understands exactly what is to be achieved and accomplished.

**Measurable**— Measurable goals/objectives are quantifiable and provide a verifiable, tangible, observable way to determine cost, quantity, time, quality, etc.

**Achievable**— An achievable goal/objective is reasonably challenging in terms of the scale, scope and resources of the task. But to be effective, it must also be realistic enough to attain success in the allotted time available.

**Relevant**— A goal/objective is relevant when it relates to something that directly impacts, changes, or otherwise appropriately contributes to the mission and goals of the department, division, or work center.

**Time-based** — The stated goal/objective should clearly state a timeframe, deadline, or other time-bound expectation in which the action, activity, behavior, as well as expected changes, will take place. (This parameter can also be stated as part of the measurement.)

notes

## Developing SMART Goals and Objectives

Goals and objectives are often used interchangeably. Goals and objectives that are aligned with the mission, values, and strategies of their department, division, or work center form the foundation for the HEAR process. Listed below are tips and techniques for developing effective SMART goals:

### Tips and Techniques

1. Goals and objectives that have the best chance for success must be written, observable, challenging, and follow the SMART criteria to improve objectivity (**s**pecific and **m**easurable); and increase consistency (**a**chievable, **r**elevant, and **t**ime-based).
2. Goals should be manageable in number. A list of about four meaningful stretch goals is sufficient to challenge employees and keep them engaged in their contribution to the department. Adding more goals is likely to have a negative impact on productivity and derail progress.
3. State goals as declarations of intentions, not an item on a wish list.
4. Goals should address both business results and personal development, if possible.
5. The best way to make sure the organization is moving in the right direction is to have a roadmap. The City's business strategy and the vision, mission, and goals/objectives of the department, division, workcenter and/or team provide focus to chart the path where its employee's goals should be headed.



notes

## Developing SMART Goals and Objectives (continued)

Writing clear and measurable goals/objectives is the most important task in the HEAR process.

Clear and measurable goals/objectives add objectivity to the performance review process and provide a context for the employee to understand what is expected of them.


It is important to build realistic timelines into work plans that enable you and employees to track progress towards their performance goals.

Although this seems easy in theory, some employees and managers struggle to identify measurements and milestones that help gauge progress.

When considering how to “measure” performance goals, use the following criteria as a guide:

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MEASURABLE CRITERIA CONSIDERATIONS FOR RATINGS	
QUANTITY	How much of this task must the employee accomplish to be rated Exceptional, Exceeds Expectations, or Meets Expectations?
QUALITY	How well must the employee perform this task to be rated Exceptional, Exceeds Expectations, or Meets Expectations?
TIME	How long should the employee need to complete the task well enough to be rated Exceptional, Exceeds Expectations, or Meets Expectations?
COST	What budget was needed (or established by agreement) to complete this task well enough to be rated Exceptional, Exceeds Expectations, or Meets Expectations? (This may be a measure for management employees.)

 **Note:** Try to make all of the expectations and goals as precise as possible; however, there may be exceptions.

## Aligning SMART Goals with COH Departmental Strategies

Goals address every aspect of organizational endeavor. The city or department sets strategic goals related to service delivery and becoming more competent at what we do, whether that is providing public service, cost control, productivity, or other measures.

Operational functions also seek improvement through goals that may address efficiency, expanding capability, increased service support, etc.

Team goals carve out each team's expected contributions to the larger business unit and functional goals, and individual goals further refine the work and make the all-important connection between the individual and the organization.



The goal cascade demonstrates to each individual employee what role he or she plays in achieving the city's strategic goals, as illustrated in the example below.

Business Level	Aligned Goals/Objectives
Mayor's Initiative/Goal	Increase collections to \$10MM in incremental revenues by end of FY13
Department Goal	Increase General Fund revenues to \$6.2MM in FY13
Division Goal	Implement data warehousing for IT reporting on revenues by 1/1/13
Team Goal	Implement vendor management program by 6/30/12
Employee Goal	Create spreadsheet to catalog all vendor transactions to monitor collection activity by 7/15/12

notes

## Steps for Setting SMART Goals

The following are suggested steps for the supervisors to use to get a head start on the HEAR process when identifying tasks and developing SMART goals and expectations:

- Create a list of all responsibilities the employee actually performs in their position.
- Review the list with the employee, and together break down the responsibilities into critical tasks.
- Determine the measurement criteria for each task by considering quality, quantity, timeliness, and cost (as appropriate).
- Ensure employee goals align with departmental strategies/goals.
- Determine the remaining SMART criteria, ensuring the goal is challenging, achievable, applicable, and observable and has a timeline.
- Develop the plan form using these SMART goals/objectives. The plan form should identify how well the employee must perform a task to receive a rating of Exceptional, Exceeds Expectations, or Meets Expectations.
- Schedule a plan session to discuss the SMART goals/objectives with the employee.



notes

## Steps for Setting SMART Goals (continued)

The following are examples of SMART goal alignment within a department. This example begins with the Public Utilities Department's strategic goal and cascades down to the employee's tasks and expectations of the position that relate to the specific task of a **Public Utility Worker I**:

**PUD'S STRATEGIC GOAL/MISSION:** To be the nation's leading Public Utility, champion for the environment, providing reliable service of exceptional quality to the most satisfied customers in the nation.

**THE EMPLOYEE TASK:** To return landscaping to its original condition upon completion of a water main repair.

**THE EXPECTATION:** That the landscaping will be promptly returned to its original condition on all job sites upon completing a water main repair.

**THE SMART GOAL:** To consistently receive no requests, within any given month, to return landscaping to its original condition on all job sites upon the completion of a water main repair.

The table below illustrates how the Utility Worker must perform to be rated Exceptional, Exceeds Expectations, and Meets Expectations based on a combination of the SMART goal, tasks, and expectations:

RATINGS	OBJECTIVES
<b>Employee will be rated:</b>	<b>If he or she performs as follows:</b>
<b>EXCEPTIONAL (5)</b>	Within a month consistently receives no requests to return to job site for landscaping.
<b>EXCEEDS EXPECTATIONS (4)</b>	Within a month consistently receives only one (1) request to return to job site.
<b>MEETS EXPECTATIONS (3)</b>	Within a month consistently receives only two (2) requests to return to job site.
<b>BELOW EXPECTATIONS (2)</b>	Within a month consistently receives three (3) requests to return to job site.
<b>NEEDS IMPROVEMENT (1)</b>	Within a month receives four (4) or more requests to return to job site.

notes

## Steps for Setting SMART Goals (continued)

This example of SMART goal alignment begins within the Human Resources department strategic goal and cascades down to the employee's tasks and expectations of the position that relate to the specific task of a Customer Service Representative (CSR) II:

**HRD'S STRATEGIC GOAL/MISSION:** To exceed the expectations of our stakeholders by committing to our shared values, and by achieving the highest levels of customer satisfaction

**THE EMPLOYEE TASK:** To answer all customer calls and address each inquiry at the first point of contact.

**THE EXPECTATION:** That the CSR rep will answers all customer inquiries to the caller's satisfaction at first contact so the customer does not have to call back and receive further assistance.

**THE SMART GOAL:** To consistently answer all customer inquiries at first contact and receive no return calls to speak with another CSR or supervisor regarding an initial inquiry within one month's time.

The table below illustrates how the CSR must perform to be rated Exceptional, Exceeds Expectations, and Meets Expectations based on a combination of the SMART goal, tasks, and expectations:

RATINGS	OBJECTIVES
<b>Employee will be rated:</b>	<b>If he or she performs as follows:</b>
<b>EXCEPTIONAL (5)</b>	Within one month consistently receives no return calls to speak with another CSR or supervisor regarding an initial inquiry.
<b>EXCEEDS EXPECTATIONS (4)</b>	Within one month consistently receives no more than one (1) call to speak with another CSR or supervisor regarding an initial inquiry.
<b>MEETS EXPECTATIONS (3)</b>	Within one month consistently receives only two (2) calls to speak with another CSR or supervisor regarding an initial inquiry.
<b>BELOW EXPECTATIONS (2)</b>	Within one month consistently receives three (3) calls to speak with another CSR or supervisor regarding an initial inquiry.
<b>NEEDS IMPROVEMENT (1)</b>	Within one month consistently receives four (4) or more calls to speak with another CSR or supervisor regarding an initial inquiry.

notes

## Activity - SMART Goal Worksheet

**SMART = Specific, Measurable, Achievable, Relevant, Time-Based**

**Instruction #1:** Write one critical goal for your department, division, or workcenter in the space below:

**GOAL:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Instruction #2:** Using the questions below, determine if your critical goal adheres to the SMART criteria. If your goal doesn't successfully fulfill the criteria for each section, rewrite it in the space provided.

- 1. Is your goal specific?** A specific goal should clearly state what you want to accomplish, why it is an important goal, and how you intend to accomplish the goal.

*Rewrite the specifics of your goal to ensure it is focused and detailed enough that everyone understands what, how, and why it is to be accomplished:*

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- 2. Is your goal measurable?** A measurable goal should include a plan with targets and milestones that you can use to make sure you're moving in the right direction.

*Rewrite your goal to include a verifiable, observable way to determine cost, quantity, time, quality, or other measure of success:*

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## SMART Goal Worksheet (continued)

***SMART = Specific, Measurable, Achievable, Relevant, Time-Based***

- 3. Is your goal achievable?** An achievable goal should be realistic and include a plan that breaks your overall goal down into smaller, manageable action steps that use the time and resources available to you within the timeline you've set.

*Rewrite your goal to ensure it is realistic enough to be successfully accomplished within allotted resource and time parameters:*

[illegible]

4. **Is your goal relevant?** A relevant goal should make sense when measured against your critical success model, mission statement, service deliveries, customer base and industry.

*Rewrite your goal to ensure it relates to something that impacts or contributes to your mission:*

[illegible]

- 5. Is your goal time-based?** A time-based goal is limited by a defined period of time and includes a specific timeline for each step of the process.

*Rewrite your goal to include a clear timeframe or deadline that the expected activity will take place:*

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## HEAR Competencies

A competency is the knowledge, skills, abilities, and behaviors that contribute to successful performance in a particular position or occupation. The HEAR process uses specific competencies called “behavioral factors”.

Each factor should be in alignment with departmental/division core values in order to determine which are critical in the achievement of a SMART goal/objective and support the mission of the department.

To ensure the employee understands the relationship between the performance criteria of the SMART goal/objective (what they do); and the manner in which they achieve the performance (how they do it), rate only the most critical behavioral factors on the assessment; approximately the top four (4) core factors.

notes

### General Behavioral Factors

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
<b>Adaptability</b>	<p><i>Refers to the employee’s ability to:</i></p> <ul style="list-style-type: none"> <li>a. Accept change readily, both in job responsibilities as well as in the work environment.</li> <li>b. Maintain effectiveness when experiencing changes in work assignments, processes or conditions.</li> <li>c. Seek to understand changes and approaches change positively.</li> <li>d. Adjust behavior to deal effectively with changes in the work environment.</li> </ul>
<b>Analytical Skills</b>	<p><i>Refers to the employee’s ability to:</i></p> <ul style="list-style-type: none"> <li>a. Gather and analyze available information for use in demonstrating, testing and/or solving simple-to-complex concepts or problems.</li> <li>b. Sift and sort through possible solutions to find those that best fit the current need.</li> </ul>
<b>Attendance and Punctuality</b>	<p><i>Refers to the employee’s ability to:</i></p> <ul style="list-style-type: none"> <li>a. Work when scheduled, with no unscheduled absences.</li> <li>b. Follow procedures for any scheduled absences.</li> <li>c. Begin and end shifts at scheduled times.</li> <li>d. Follow procedures for notifying supervisor if or when tardiness may occur.</li> </ul>

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
<b>Communication (Oral &amp; Written)</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Exchange information and ideas that impact and influence others.</li> <li>Be clear, concise and organized in one's communications.</li> <li>Demonstrate business-appropriate language skills.</li> </ol>
<b>Cooperation</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Work pleasantly and effectively with other employees and departments.</li> <li>Work pleasantly and effectively with external customers and the public.</li> </ol>
<b>Customer Focus</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Meet the expectations and requirements of internal and external customers.</li> <li>Get first-hand customer information and use it for improvements in products and services.</li> <li>Act with customers in mind.</li> <li>Establish and maintain effective relationships with customers and gain their trust and respect.</li> <li>Show enthusiasm for job.</li> </ol>
<b>Dependability</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Recognize and demonstrate actions and behaviors that significantly contribute to both internal and external success.</li> <li>Inspire confidence in others based on a proven ability to deliver results.</li> </ol>
<b>Employee Development</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Provide challenging stretching tasks and assignments.</li> <li>Hold frequent development discussions.</li> <li>Maintain awareness of each employee's career goals.</li> <li>Construct and execute compelling development plans.</li> <li>Encourage employees to accept developmental activities.</li> <li>Assist those employees who need help and further development.</li> <li>Cooperate with the developmental staff in the organization.</li> </ol>
<b>Ethics and Values</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Adhere to an appropriate and effective set of core values and beliefs during both good and bad times and act in line with those values.</li> <li>Reward the right values and disapprove of others.</li> <li>Practice those actions he/she prescribes for others.</li> </ol>

notes

[illegible]

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
<b>Problem Solving</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Cope with problem situations of varying degrees of complexity or challenge.</li> <li>Evaluate and/or analyze information and provide interpretation in a timely manner.</li> </ol>
<b>Project Management</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Lead temporary endeavors with defined beginnings and ends (usually time-constrained, and often constrained by funding or quality and/or scope of deliverables).</li> <li>Plan, organize, secure, and manage resources to achieve specific goals.</li> <li>Ensure projects managed meet defined goals and objectives.</li> </ol>
<b>Safety and Security</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Focus attention on safety issues and observe appropriate security procedures.</li> <li>Follows safety procedures.</li> <li>Attend and participate in safety meetings.</li> <li>Complete required safety training.</li> <li>Identify safety concerns.</li> </ol>
<b>Teamwork</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Collaborate with others to achieve results.</li> <li>Work well with fellow employees in a cooperative and team-oriented manner.</li> <li>Place higher priority on team/organizational goals than on own goals.</li> <li>Motivate fellow employees.</li> <li>Take responsibility and initiative and lead by example.</li> <li>Serve as project or team leader if called upon.</li> </ol>
<b>Utilization of Time</b>	<i>Refers to the employee's ability to:</i> <ol style="list-style-type: none"> <li>Produce an acceptable quantity of work that indicates efficient use of time.</li> <li>Control time spent on personal telephone calls and conversations with other workers, and time spent away from work area.</li> </ol>

notes

**Note:** Should you have two (2) or more employees with the same position title and similar responsibilities, choose the same behavioral factors for each. Any exceptions should be approved by your reviewing authority.

## Supervisor/Manager Behavioral Factors

The Supervisor/Manager Behavioral Factors are additional competencies that supplement the general behavioral factors on the assessment form.

Supervisors should determine the Supervisor/Manager behavioral factors that are critical in achieving a SMART goal/objective and supporting the mission of the department. (As mentioned earlier, rate only the most critical, top four core factors.)

**NOTE:** As with the general behavioral factors, remember to select the same Supervisor/Manager behavioral factors for each employee with the same title and similar responsibilities. Any exceptions must be approved by your reviewing authority.

*For example, a supervisor with three direct reports, each having the title of Administrative Supervisor should choose the same Supervisor/Manager behavioral factors – perhaps in this case: Delegation, Leadership, and Managing People, for all three individuals on all three plan forms.*

notes

FACTOR	SUPERVISOR/MANAGER BEHAVIORAL FACTOR DEFINITIONS
<b>Conflict Resolution</b>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ol style="list-style-type: none"> <li>Express alternate points of view in a non-threatening way.</li> <li>Recognize when it is appropriate to compromise and when it is important to take a stand.</li> </ol>
<b>Cost Consciousness</b>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ol style="list-style-type: none"> <li>Adopt an organization-wide attitude about the topics of cost</li> <li>Understand the impacts of cost containment, cost avoidance, and cost reduction.</li> <li>Manage areas or tasks while keeping costs in mind and under control.</li> </ol>

FACTOR	SUPERVISOR/MANAGER BEHAVIORAL FACTOR DEFINITIONS
<b>Delegation</b>	<i>Refers to the supervisor's or manager's ability to:</i> <ol style="list-style-type: none"> <li>Delegate both routine and important tasks and decisions.</li> <li>Share both responsibility and accountability for accomplishing tasks.</li> <li>Trust people to perform</li> <li>Allow direct reports and others to finish their own work.</li> </ol>
<b>Diversity Commitment</b>	<i>Refers to the supervisor's or manager's ability to recognize actions and behaviors that contribute to creating and managing a diverse workforce.</i>
<b>Leadership</b>	<i>Refers to the supervisor's or manager's ability to:</i> <ol style="list-style-type: none"> <li>Influence others to accomplish organizational objectives.</li> <li>Direct the organization in a way that makes it more cohesive and coherent.</li> </ol>
<b>Managing People</b>	<i>Refers to the supervisor's or manager's ability to:</i> <ol style="list-style-type: none"> <li>Align each subordinate employee's goal with one or more of your own goals.</li> <li>Manage and/or supervise employees effectively, efficiently, and fairly.</li> </ol>
<b>Performance Coaching</b>	<i>Refers to the supervisor's or manager's ability to:</i> <ol style="list-style-type: none"> <li>Recognize and leverage the strengths and improvement opportunities in all employees.</li> <li>Help subordinates achieve their responsibilities and improve their performance.</li> </ol>

notes

## Test Your Knowledge #1

Match the General Behavioral Factor and the definition by placing the letter next to the corresponding factor that it describes.

	FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
_____	<b>1. Problem Solving</b>	<p><i>A. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Accept change readily, both in job responsibilities as well as in the work environment.</li> <li>• Maintain effectiveness when experiencing changes in work assignments, processes or conditions.</li> <li>• Seek to understand changes and approaches change positively.</li> <li>• Adjust behavior to deal effectively with changes in the work environment.</li> </ul>
_____	<b>2. Utilization of Time</b>	<p><i>B. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Exchange information and ideas that impact and influence others.</li> <li>• Be clear, concise and organized in one's communications.</li> <li>• Demonstrate business-appropriate language skills.</li> </ul>
_____	<b>3. Employee Development</b>	<p><i>C. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Produce an acceptable quantity of work that indicates efficient use of time.</li> <li>• Control time spent on personal telephone calls and conversations with other workers and time spent away from the work area</li> </ul>
_____	<b>4. Adaptability</b>	<p><i>D. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Adhere to an appropriate and effective set of core values and beliefs during both good and bad times and act in line with those values.</li> <li>• Reward the right values and disapprove of others.</li> <li>• Practice those actions he/she prescribes for others.</li> </ul>
_____	<b>5. Excellence</b>	<p><i>E. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Cope with problem situations of varying degrees of complexity or challenge</li> <li>• Evaluate and/or analyze information and provide interpretation in a timely manner.</li> </ul>

	FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
_____	<b>6. Job Performance</b>	<p><i>F. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Provide challenging stretching tasks and assignments.</li> <li>• Hold frequent development discussions.</li> <li>• Maintain awareness of each employee's career goals.</li> <li>• Construct and execute compelling development plans.</li> <li>• Encourage employees to accept developmental activities.</li> <li>• Assist those employees who need help and further development.</li> <li>• Cooperate with the developmental staff in the organization.</li> </ul>
_____	<b>7. Safety and Security</b>	<p><i>G. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Demonstrate knowledge of job standards and procedures that apply to the position.</li> <li>• Produce or perform work with general quality, consistency, accuracy, and/or appearance.</li> <li>• Accept responsibility and perform routine and special assignments with minimum supervision.</li> <li>• Set priorities and organize work activities as needed.</li> <li>• Produce quantity of work in relation to the acceptable standards determined for the job.</li> <li>• Meet deadlines when performing or producing the work.</li> </ul>
_____	<b>8. Ethics and Values</b>	<p><i>H. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Focus attention on safety issues and observe appropriate security procedures.</li> <li>• Follow safety procedures.</li> <li>• Attend and participate in safety meetings.</li> <li>• Complete required safety training.</li> <li>• Identify safety concerns.</li> </ul>
_____	<b>9. Communication (Oral &amp; Written)</b>	<p><i>I. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Demonstrate a constant effort to achieve and/or enhance high quality.</li> <li>• Produce results that meet or exceed expectations.</li> </ul>
_____	<b>10. Cooperation</b>	<p><i>J. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> <li>• Produce an acceptable quantity of work that indicates efficient use of time.</li> <li>• Control time spent on personal telephone calls and conversations with other workers; and time spent away from the work area.</li> </ul>

## Test Your Knowledge #2

**Instructions:** Match the Supervisor/Manager Behavioral Factor and the definition by placing the letter next to the corresponding factor that it describes.

	FACTOR	SUPERVISOR/MANAGER BEHAVIORAL FACTOR DEFINITIONS
_____	<b>1. Performance Coaching</b>	<p>A. Refers to the supervisor's or manager's ability to:</p> <ul style="list-style-type: none"> <li>• Influence others to accomplish organizational objectives.</li> <li>• Directs the organization in a way that makes it more cohesive and coherent.</li> </ul>
_____	<b>2. Conflict Resolution</b>	<p>B. Refers to the supervisor's or manager's ability to:</p> <ul style="list-style-type: none"> <li>• Adopt an organization-wide attitude about the topics of cost.</li> <li>• Understand the impacts of cost containment, cost avoidance, and cost reduction.</li> <li>• Manage areas or tasks while keeping costs in mind and under control.</li> </ul>
_____	<b>3. Leadership</b>	<p>C. Refers to the supervisor's or manager's ability to:</p> <ul style="list-style-type: none"> <li>• Align each subordinate employee's goal with one or more of your own goals.</li> <li>• Manage and/or supervise employees effectively, efficiently, and fairly.</li> </ul>
_____	<b>4. Delegation</b>	<p>D. Refers to the supervisor's or manager's ability to:</p> <ul style="list-style-type: none"> <li>• Recognize and leverage the strengths and improvement opportunities in all employees.</li> <li>• Help subordinates achieve their responsibilities and improve their performance.</li> </ul>
_____	<b>5. Cost Consciousness</b>	<p>E. Refers to the supervisor's or manager's ability to recognize actions and behaviors that contribute to creating and managing a diverse workforce.</p>
_____	<b>6. Managing People</b>	<p>F. Refers to the supervisor's or manager's ability to:</p> <ul style="list-style-type: none"> <li>• Delegate both routine and important tasks and decisions.</li> <li>• Share both responsibility and accountability for accomplishing tasks.</li> <li>• Trust people to perform.</li> <li>• Allow direct reports and others to finish their own work.</li> </ul>
_____	<b>7. Diversity Commitment</b>	<p>G. Refers to the supervisor's or manager's ability to:</p> <ul style="list-style-type: none"> <li>• Express alternate points of view in a non-threatening way.</li> <li>• Recognize when it is appropriate to compromise and when it is important to take a stand.</li> </ul>

## Building Relevance, Fairness, and Completeness into the HEAR Plan

Supervisors are required to conduct periodic observations of employee performance during an assessment period in order to prepare the HEAR plan.

These observations provide excellent opportunities for on-the-spot coaching and feedback, and should always be recorded in writing.

There are three key considerations that can significantly impact the success of the HEAR plan and assessment while monitoring performance and documenting observations: *relevance, fairness, and completeness*.

**Relevance** adds value and validity to the process and helps clarify expectations; particularly when employee goals and objectives are in alignment with organizational goals. To ensure relevance:

- Make sure all observations and comments are applicable to specific tasks and/or to the individual SMART goals established in the plan for the assessment and review period.
- Exercise objectivity when documenting observations of work behavior and performance. Avoid letting attitudes, opinions, or personal preferences obstruct objectivity – good or bad.

**Fairness** relates to being consistent when documenting observations of employee performance. To ensure fairness:

- Be sure to provide positive feedback when employees perform well.
- Address and document inappropriate behavior or substandard performance as soon as it is observed to give employees an opportunity to improve.
- Conduct progress review meetings with every employee quarterly or at least semi-annually to exchange feedback on his or her performance. This will help avoid any surprises at the final assessment.

To ensure **Completeness**, the combination of observations and documentation should convey a thorough, impartial, and objective picture of the employee's performance. To remain in the spirit of completeness:

- Monitor the entire performance period, not just a single or most recent incident.
- Consider any unusual circumstances, additional responsibilities, or obstacles that may have negatively impacted timely or successful task completion.

notes

## Elements of a Successful HEAR Planning Session

Before rating the employee, the HEAR plan form must be completed. The following information lists additional recommendations when preparing for and conducting your upcoming planning session:

### Before the Planning Session

#### 1. Do your homework.

Before meeting with each employee, identify their critical tasks, responsibilities, and key "deliverables" for each task.

A deliverable can be a product or service, depending on the work that supports their classification, and can be an **ongoing** or a **one-time** responsibility.

List no more than four critical tasks.

Determine when and where you will meet with employees so you can give them your undivided attention.

#### 2. Educate your employees about the process.

During your staff meeting, or individually, let employees know that you will be scheduling an individual planning meeting with each one to discuss responsibilities, goals, tasks, and to create SMART goals to prepare their individual HEAR plan form.



Explain what a SMART goal is. Use the questionnaire on Page 34 to assist you in explaining the concept to your employee.

Encourage your employees to make a list of their responsibilities, goals, and tasks, as well as how long it takes to complete them, so they can provide input into the process.

Inform employees that you will periodically monitor their performance throughout the HEAR assessment and review period.

#### 3. Schedule the session, giving the employee enough time to prepare.

Consider blocking your calendar for a half day, full day or more to do nothing but conduct HEAR planning sessions with your employees until they are all accomplished.

Consider scheduling a conference room so you won't be tempted to answer ringing phones, email, or uninvited visitors during the session.

notes

## During the Planning Session

### 1. *Meet with the employee*

Greet your employees and make them comfortable with the seating, without having a desk between you.

Start the meeting with a positive comment. Be sure to mention that their input is extremely important in this process. Explain that this will be the first of several formal and informal dialogues to discuss their performance goals and responsibilities.

### 2. *Communicate expectations.*

Communicate what you've identified as their responsibilities, goals, and critical tasks. Allow employees time to talk, brag, vent, etc., about their work experiences and what they've identified as critical tasks, responsibilities, performance issues, and career goals.

### 3. *Collaborate with employees to develop SMART goals.*

Determine which task are the most critical and work with employees to convert them into specific, measurable, achievable, relevant, and time-base (SMART) goals.

Next, for each goal, determine together how the employee must perform to be rated Exceptional, Exceeds Expectations, and Meets Expectations.

After reviewing each SMART goal, employees should ideally believe that they can use their current skills to achieve the goals to make a meaningful contribution to the organization. If not, discuss what obstacles may be hindering their success, or what resources may be needed.

Finally, identify up to four specific HEAR competencies called "behavioral factors" that will assist the supervisor in assessing performance.

### 4. *End the preliminary session.*

Decide together what can be done to solve any challenges that may have been revealed in the session.

Document the session on the plan form and let the employee know they will receive a copy of the final plan for their signature and agreement.

End the planning session on a positive note by expressing your confidence and support in the employee's achievement of the goals.

notes

## After the Planning Session

### 1. Conduct a final review of the collaborated plan

Draft the collaborated performance plan on the designated form. Review the plan to make sure that you have:

- ✓ Up to four critical tasks
- ✓ Described all goals in observable and measurable terms; using the SMART criteria
- ✓ Assigned relevant behavioral factors

### 2. Meet with the Reviewing Authority

Schedule an appointment to review the plan and assess whether or not:

- ✓ The SMART goals are aligned with the department's strategic goals
- ✓ The goals meet the SMART criteria to ensure:
  - The employee can actually perform each of the tasks and responsibilities stated with the current skills and knowledge.
  - Training and mentoring is needed, or whether you'll need to adjust the responsibilities.
  - The employee has the equipment and financial resources to perform the responsibilities in the work plan. If not, discuss a plan to acquire these resources or adjust the plan.

### 3. Establish the HEAR work plan as an official record.

Meet with the employee to review the completed plan and reach agreement on it. Note that the employee might request some adjustments.

Once both of you agree to the plan, have the employee sign and date the form first and then you sign and date it.

After the Reviewing Authority signs and dates the form, give a copy to the employee.

Maintain the original copy to use during the final assessment to apply your official ratings and complete the HEAR process.

notes

## Recommendations for a Successful HEAR Planning Session (continued)

The checklist below will assist you in preparing and completing the plan form successfully:

<b>WHO:</b>	Employee and supervisor
<b>WHEN:</b>	Beginning of assessment period
<b>WHAT YOU'LL NEED:</b>	Employee's task list SMART Goals and objectives HEAR plan form

DATE COMPLETE	GUIDELINES
	1. Supervisor schedules the planning session with the employee
	2. Employee and supervisor discuss SMART goals and behavioral factors for the review period
	3. Reviewing authority reviews the form
	4. Employee signs and dates form
	5. Supervisor signs and dates form
	6. Reviewing authority signs and dates form
	7. Employee receives a copy of the form
	8. Original plan form is maintained to complete the HEAR process at the end of the review period

notes

## S.M.A.R.T. Goal Questionnaire

Goal: \_\_\_\_\_

\_\_\_\_\_

### Specific

Simplistically write and clearly define what you are going to do

What will the goal accomplish?

How will it be accomplished?

Why does it need to be accomplished?

### Measurable

Provide tangible evidence that you have accomplished the goal

How will you measure whether or not the goal has been reached? (list at least two indicators)

1.

2.

### Achievable

Goals should be achievable, stretch you slightly so you feel challenged, but defined well enough so that you can achieve them. You must possess the appropriate knowledge, skills, and abilities needed to achieve the goal

Is it possible?

Have others done it successfully?

Do you have the necessary knowledge, skills, abilities, and resources to accomplish the goal?

Will meeting the goal challenge you without defeating you?

### Relevant

Goals should measure outcomes, not activities

What is the reason, purpose, or benefit of accomplishing the goal?

What is the result (not activities leading up to the result) of the goal?

### Time-Based

Goals should be linked to a timeframe that creates a practical sense of importance

What is the established completion date?

How long will it take someone to demonstrate competency at this activity?

Does the completion date create a practical sense of urgency?

notes

Revised Goal: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Introducing the HEAR Forms

The current HEAR form prototypes are user friendly forms designed with fill-in fields and drop-down boxes used to communicate and document up to four (4) SMART goals/objectives and up to four (4) behavioral factors. With the implementation of HEAR, these forms will serve a dual purpose: to be used as the non-rated plan form during the quarterly or semi-annual review; and during the final assessment to rate each SMART goal/objective and behavioral factor.

notes

### Non-Supervisor Form



HOUSTON EMPLOYEE ASSESSMENT AND REVIEW			
<b>A. Demographics</b>			
NAME	EMPLOYEE ID	REVIEW PERIOD to	DISCUSSION DATE
POSITION TITLE	JOB CODE	DEPARTMENT	
SUPERVISOR/MANAGER	SUPERVISOR/MANAGER ID	EMPLOYEE HIRE DATE	TYPE OF REVIEW Select Review Type
<b>B. Add SMART Goal/Objective</b>		<b>&gt;&gt;THEN&gt;&gt; Select Rating from list below</b>	
		A. Select Rating from Drop Down List	
		B. Select Rating from Drop Down List	
		C. Select Rating from Drop Down List	
		D. Select Rating from Drop Down List	
<b>SMART Goal Comments/Observations:</b>			
<b>SMART Goal Rating Summary</b>		(Weight = 50% of Overall Rating) 0.00	
<b>C. Select Behavioral Factor from list below</b>		<b>&gt;&gt;THEN&gt;&gt; Select Rating from list below</b>	
1. Select Behavioral Factor from Drop Down		A. Select Rating from Drop Down List	
2. Select Behavioral Factor from Drop Down		B. Select Rating from Drop Down List	
3. Select Behavioral Factor from Drop Down		C. Select Rating from Drop Down List	
4. Select Behavioral Factor from Drop Down		D. Select Rating from Drop Down List	
<b>Behavioral Factor Comments/Observations:</b>			
<b>Behavioral Factor Rating Summary</b>		(Weight = 50% of Overall Rating) 0.00	
<b>OVERALL ASSESSMENT RATING</b>		0.00	
Employee Signature	Employee #	Date	
<b>Employee Comments/Observation:</b>			
<small>I certify that I had the opportunity to write comments on this review and that it has been discussed with me. I understand that I may appeal this review through the City's formal grievance procedure within thirty calendar days from the date of my signature, if my rating is less than meets expectations.</small>			
Supervisor/Manager Signature	Supervisor/Manager #	Date	
<b>Supervisor/Manager Comments/Observation:</b>			
Reviewing Authority Signature	Reviewing Authority #	Date	
<b>Reviewing Authority Comments/Observation:</b>			

## Supervisor and Manager Form

The prototype Supervisor and Manager Form contains the same general information as the Non-supervisor Form, with an additional section for management behavioral factors and competencies essential for achieving the department's strategic goals or core mission.

One of the four selected Supervisor and Manager Behavioral Factors should evaluate how the manager executes the performance assessment process.

notes

HOUSTON EMPLOYEE ASSESSMENT AND REVIEW			
<div>   </div>			
<b>A. Demographics</b>			
<b>SUPERVISOR AND MANAGER FORM</b>			
NAME	EMPLOYEE ID	REVIEW PERIOD to	DISCUSSION DATE
POSITION TITLE	JOB CODE	DEPARTMENT	
SUPERVISOR / MANAGER	SUPERVISOR / MANAGER ID	EMPLOYEE HIRE DATE	TYPE OF REVIEW Select Review Type
<b>B. Add SMART Goal/Objective</b>			
>>THEN>>		Select Rating from list below	
		A. Select Rating from Drop Down List	
		B. Select Rating from Drop Down List	
		C. Select Rating from Drop Down List	
		D. Select Rating from Drop Down List	
<b>SMART Goal Comments/Observations:</b>			
<b>SMART Goal Rating Summary</b> (Weight = 50% of Overall Rating) 0.00			
<b>C. Select Behavioral Factor from list below</b>			
>>THEN>>		Select Rating from list below	
1. Select Behavioral Factor from Drop Down		A. Select Rating from Drop Down List	
2. Select Behavioral Factor from Drop Down		B. Select Rating from Drop Down List	
3. Select Behavioral Factor from Drop Down		C. Select Rating from Drop Down List	
4. Select Behavioral Factor from Drop Down		D. Select Rating from Drop Down List	
<b>Behavioral Factor Comments/Observations:</b>			
<b>Behavioral Factor Rating Summary</b> (Weight = 25% of Overall Rating) 0.00			
<b>D. Select Supervisor/Manager Factor from list below</b>			
>>THEN>>		Select Rating from list below	
1. Select Management Factor from Drop Down		A. Select Rating from Drop Down List	
2. Select Management Factor from Drop Down		B. Select Rating from Drop Down List	
3. Select Management Factor from Drop Down		C. Select Rating from Drop Down List	
4. Select Management Factor from Drop Down		D. Select Rating from Drop Down List	
<b>Supervisor/Manager Factor Comments/Observations:</b>			
<b>Management Rating Summary</b> (Weight = 25% of Overall Rating) 0.00			
<b>OVERALL ASSESSMENT RATING</b> 0.00			
Employee Signature		Employee #	Date
<b>Employee Comments/Observation:</b>			

I certify that I had the opportunity to write comments on this review and that it has been discussed with me. I understand that I may appeal this review through the City's formal grievance procedure within thirty calendar days from the date of my signature, if my rating is less than meets expectations.

## The Work Progress Review Meeting

The goal of the HEAR process is to encourage on-going communication between supervisory personnel and the employee(s) they supervise. This is an opportunity to give recognition, recommendations, receive input, and identify opportunities to improve performance.

Each employee must understand that his/her assessment will be based on the SMART goals and behavioral factors in the plan.

Supervisors are expected to periodically observe the employee's performance during an assessment period. These observations provide an excellent opportunity for coaching and feedback, and you should record them in writing. The work progress meetings provide feedback to the employee prior to the final assessment.

The supervisor and the employee may agree to change the plan form during the work progress meeting. If both of you agree to this, it must be in writing.

The supervisor must make the changes on the plan form and both the employee and the supervisor must initial the changes. If you need to add extra pages for the changes, you can do so.

You are responsible for showing the reviewing authority any changes you and the employee made to the initial plan.

### Key Points to Remember



- Meet **at least twice** a year prior to the final assessment. **Ideally**, you'll want to meet at least quarterly.
- Set aside at least twenty to forty minutes for each session
- Discuss achievements, concerns, behaviors, and performance referring to the plan form



- **Encourage** communication
- Document each meeting on a form similar to the sample Supervisor's Work Progress Meeting Form
- Meet with each employee at the same time intervals and for approximately the same length of time
- Meet at least twice a year with your reviewing authority to review your documentation

notes



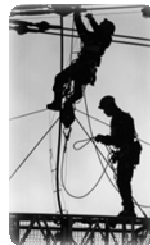
# Coaching Defined

Coaching is a process to improve performance while helping an employee, team, or organization evolve. Coaching helps an employee, team, and organization find a solution or learn how to perform a simple or complex task or behavior.

Coaching helps people learn for themselves, become more capable in finding potential options for a current task or problem while developing skills that can be used in future problems or activities.

Coaching is very different from normal leading and managing. In leading or managing we provide guidance and direction, but generally only do some form of quality checks at the back end or over a large period of time.

In coaching, supervisors provide more detail at the beginning, observe the performance of the task/behavior, and then provide detailed feedback on its performance.



Supervisors observe the performance to ensure he/she can provide feedback to the employee on their performance and proficiency in the task, activity, or behavior.

This observation session should almost never become a “you tell them how to” session. Intervene only to avoid chaos or catastrophe as they are trying to perform the task.

Positive recognition and feedback increases employee motivation. Coaching enables greater delegation and builds a manager or supervisor’s reputation as a people developer.

Coaching enhances learning and brings context to what the employee is doing and/or why they are doing it. It encourages initiative, confidence in their freedom of action, and empowers for future actions; while increasing knowledge and proficiency in the tasks being coached.

Coaching will also produce higher levels of motivation throughout the workforce and increased sense of ownership of the organization’s systems, tasks, products, services, and requirements.

The high level of interaction between you and your workforce will fuel these increases. As they gain in proficiency in the tasks and behaviors trained in the coaching sessions, they will become even more committed to the quality of your organization’s products and services.

notes

# Supervisor as Coach – A Role Play Activity

## The Coach's Role

### 1. Begin by asking the employee for feedback about his or her performance.



For example, you might say:

- “Joe, let’s start with you telling me how you feel you’re doing on the job. Are you satisfied with your performance?”
- “What areas in your performance would you say are the most challenging?”

This question allows employees to provide their perspective on their performance. Engage in active listening and be sure to take notes. Give the employee your undivided attention.

### 2. Give positive feedback to employee when he or she meets or exceeds performance expectations.

For example, you might say:

- “Yes, that’s good! I agree - you do a good job coordinating your crew and taking care of your equipment.”

In this step, discuss the tasks and responsibilities listed on the plan form. Be specific; all comments should be directly related to the items on the plan form.

### 3. Give feedback to employee when he or she does not meet the performance or behavioral expectations.

For example, you might say:

- “I noticed last month your crew received three requests to return to the job site to return the landscaping to its original condition.”
- “What ideas do you have to help turn this situation around and receive fewer call backs?”

In this step, include the employee in defining the problem and developing a viable solution. Be aware of your verbal and non-verbal communication to keep the discussion moving in a positive direction. Remember to keep all comments relevant to the items on the plan form.

notes

## Supervisor as Coach – A Role Play Activity (continued)

### 4. Focus on solutions to problems and major issues.

For example, you might say:

- *“You mentioned you’re not satisfied with the teamwork in your area.”*
- *“Any ideas on what we can do to promote the team spirit?”*
- *“What can we do to turn this situation around?”*

In this step, include the employee in defining the problem and developing a viable solution. Be aware of your verbal and non-verbal communication to keep the discussion moving in a positive direction.

### 5. Discuss progress towards goal (or behavioral factor) of professional development

For example, you might say:

- *“What progress have you made toward your goals for professional growth and enrichment?”*

### 6. Review points discussed and determine future goals for the next meeting.

For example, you might say:

- *“We agree that you have met performance expectations in these areas: coordinating your crew personnel, taking care of your equipment, and time and attendance.”*
- *“We also agree that you will work on building teamwork in your area.”*
- *“Is that your understanding of our discussion?”*

In this step, you are confirming the discussion and reviewing commitments. Be sure your employee understands what goals are to be met by the next meeting date.

notes

# The Employee's Role

**Instructions:** As the employee, your role is to provide the supervisor/coach with feedback as indicated below.

**Ask the supervisor/coach for the following information before the role play begins:**

1. Two SMART goals on the employee's plan (developed earlier in class)
2. Two behavioral factors on the employee's plan (developed earlier in class)

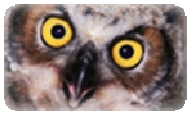


**You and your supervisor scheduled a work progress meeting three months ago, and today is the day of the meeting. Be prepared to discuss the following:**

1. How you feel about your performance on the job.
2. Areas in **your** performance that you think are the most challenging.  
**Example:** *You are having difficulties meeting your deadlines.*
3. Ideas you have for dealing with challenges in your performance.  
**Example:** *If you are responsible for a team or crew, you may have ideas for improving teamwork because you're not satisfied with the team spirit in your area.*
4. Suggestions you have for improving your performance when you are not meeting the agreed upon expectations. **Example:** *If you feel you may have to reorganize your workload.*
5. Ideas you have for excelling when you have met or exceeded expectations. **Example:** *You may have a proposal for a new fundraising campaign or improvements in customer service.*
6. Action steps you've taken towards professional development/growth and progress made. **Example:** *You have to facilitate meetings and you would like to build your confidence as a meeting facilitator. You have taken the following courses: Making Effective Presentations and How to Run an Effective Meeting.*

notes

## The Observer's Role



**Instructions:** As the observer, your role is to provide the supervisor/coach with feedback after the role play. Use the pointers on this sheet to help with your feedback. You might want to take brief notes on this sheet as the role play progresses.

notes

Did the supervisor do the following?

1. Ask the employee for feedback on his/her performance? In general, what did the supervisor say? (i.e., are you satisfied with your performance? What areas in your performance would you say are the most challenging?)  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
2. Listen actively to the employee (i.e. provide undivided attention, take notes, respond to what the employee said after the employee finished talking)?  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
3. Give positive feedback to the employee when he or she does not meet the performance or behavioral expectations? In general, what did the supervisor say?  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
4. Ensure all feedback and comments are specific and related to items on the plan form?
5. Focus on solutions to problems and major issues?
  - Include the employee in defining the problem?
  - Include the employee in developing a viable solution?
6. Try to keep the discussion moving in a positive direction when talking about solutions to problems to major issues (i.e., *tone of voice, body language, etc.*)?
7. Review points discussed **and** determine future **goals** for the next meeting?

## The Final HEAR Assessment

The combined result of the supervisor developing and communicating the SMART goals and behavioral factors, observing and providing regular feedback, and conducting the work progress meetings will determine the overall assessment rating.

### Before the Final Assessment

#### 1. Do your homework before meeting with your employees.

Review your documentation, and make a copy of each of the following to have on hand during the assessment:

- Observation notes
- Plan Form
- Work Progress Review

Assign a rating to each of the SMART goals and behavioral factors; including the reason or justification for each rating. ***SMART goals and behavioral factors should be individually weighed to equal an accumulative 100% (i.e., 50% SMART goals and 50% Behavioral Factors; for supervisors and managers the breakdown is: 50% SMART goals, 25% Behavioral Factors, and 25% Management Factors).***

Make a list of any suggestions for improvement for the employee, if appropriate.

Determine when and where you will meet with employees so you can give them your undivided attention.

#### 2. Ask employees for their input.

Let employees know that you will be scheduling their final assessment and that you would like them to provide input on how well they think they performed throughout the year. Also ask employees for a list of their achievements and accomplishments they have attained during the review period.

Encourage your employees to review the list of their SMART goals, so they can gauge their progress. Explain that you will be rating each of the SMART goals and behavioral factors they worked together to develop during the planning session.

There should be no surprises regarding the ratings if the employee was engaged in the process throughout the review period, and periodic observations and work progress reviews were conducted and documented.

#### 3. Meet with the Reviewing Authority.

Review the assessment and employee's ratings with the reviewing authority in advance for his/her input and approval

#### 4. Schedule the Assessment.

notes

## During the Final Assessment

### 1. *Meet with the employee to discuss the performance assessment.*

Greet your employees and make them comfortable with the seating arrangement. Make sure there is not a desk between you. Start the meeting with a positive comment.

### 2. *Communicate the reasons for the ratings with your employee.*

Review the assessment and explain your rationale for each rating. If necessary, use the observation notes or work progress review forms to support your decisions. Indicate where you were able to use their accomplishments and achievements to help form the ratings.

Next, ask the employees how they think they would rate themselves. Give them an opportunity to discuss the reasons for their ratings. If you believe a change of rating is warranted, be sure to notify the reviewing authority.

### 3. *Discuss professional developmental and growth opportunities.*



After reviewing the assessment ratings, explore the possibilities of professional development and growth opportunities.

Provide suggestions for improvement, when necessary, and decide together what can be done to resolve any challenges that may be hindering his/her success.

Be sure to inquire about any immediate or future plans, such as training, certifications, licenses, degrees, etc., that the employee may have considered to help him/her advance their career.

### 4. *End the HEAR assessment on a positive note.*

Express your confidence and support in the employee's work, abilities, and/or potential. Offer your assistance.

### 5. *Sign the forms.*

You and the employee must sign the completed forms. Submit the original form to the reviewing authority for his/her signature.

## After the Final Assessment

### 1. *Establish the assessment as an official record.*

Give a copy of the signed form to the employee; keep a copy in your files; and have the original forwarded to the HR department.

### 2. *Set a new date to develop a new plan form with the employee and begin the HEAR process all over again for the upcoming assessment and review period.*

notes

## Checklist for the Performance Assessment

The checklist below outlines the steps for completing the HEAR assessment.

<b>WHO:</b>	Employee Supervisor Reviewing Authority
<b>WHEN:</b>	End of assessment period, or as scheduled
<b>WHAT YOU'LL NEED:</b>	Observation notes, plan form, and assessment documentation, such as the Supervisor's Work Progress Meeting Form

DATE COMPLETED:	ACTION
	1. Review documentation and plan form; assign rating to SMART goals and behavioral factors.
	2. Complete reason for rating and provide any suggestions for improvement.
	3. Review overall assessment rating.
	4. Send to reviewing authority for approval.
	5. Schedule a meeting with employee to discuss the performance assessment.
	6. Supervisor and employee sign and date the completed assessment form.
	7. Submit to reviewing authority for signature.
	8. Give copy to employee.
	9. Keep copy in your file; send original to your department's designated collection point for forwarding to Human Resources department.
	10. Set a date to develop a new plan form with employee.

notes

## HEAR Quick Reference Table

The table below identifies those activities supervisors and managers will be required to discontinue, begin, and resume as a result of the HEAR implementation:

From the EPE System		To the HEAR Process
STOP DOING THIS		START DOING THIS
We will <b>STOP</b> ...Referring to the process as the Employee Performance Evaluation or "EPE"	Instead we will <b>START</b> ...	Referring to the process as the Houston Employee Assessment and Review or "HEAR"
<b>STOP</b> ...Following Mayor's Policies 112 and 115, formerly supplements to Chapter 14, Article II, Division 13, Section 14-162 of the Code of Ordinances, the governing authority for the process	Instead, our new governing authorities are:	Administrative Procedures 3-20 and revised HEAR Guidelines, that are now supplemental to Chapter 14, Article II, Division 13, Section 14-162 of the Code of Ordinances
We will <b>STOP</b> ...Writing job duties independent to the position	Instead we will <b>START</b> ...	Developing SMART goals
We will <b>STOP</b> ... Developing employee work plans independently	Rather, we will <b>BEGIN</b> to...	<ul style="list-style-type: none"> <li>Align departmental goals with COH strategic goals/objectives</li> </ul>
	And we will...	<ul style="list-style-type: none"> <li>Align employee goals with department/division goals/objectives to show how employees contribute to the city's success</li> </ul>
	But most important we will <b>START</b> ...	<ul style="list-style-type: none"> <li>Collaborating with the employee to develop the work plans</li> </ul>
We will <b>STOP</b> ...Using the terms "Performance" and "Optional" Factors	Instead we will <b>START</b> ...	Using the terms " <b>Behavioral</b> " and " <b>Supervisor/Manager</b> " Factors

## HEAR Quick Reference Table (continued)

From the EPE System		To the HEAR Process
Stop Doing		Start Doing
We will <b>STOP</b> ...Assigning the following as <i>Performance Factors</i> :	Rather, we will <b>START</b> ...	Assigning the following as <b>Behavioral Factors</b> :
• Attendance & Punctuality	Is now:	• Attendance & Punctuality
• Communication	Is now:	• Communication (Includes verbal & written)
• Interpersonal Skills	Is now:	• Communication (Includes verbal & written)
• Job/Technical Knowledge	Is now:	• Job Knowledge
• Productivity	Is now:	• Job Performance
• Safety Awareness/Performance Record	Is now:	• Safety and Security
We will <b>STOP</b> ...Assigning the following as <i>Optional Factors</i> :	Rather, we will <b>START</b> ...	Assigning the following as <b>Behavioral Factors</b> :
• Employee Relations	Is now:	• Diversity Commitment (Manager/Supervisor Factor)
• Financial Management	Is now:	• Cost Consciousness (Manager/Supervisor Factors)
• Leadership	Is now:	• Leadership (Manager/Supervisor Factors)
• Maintenance of Equipment	Is now:	• Not currently listed
• Planning/Organizing	Is now:	• Planning and Organization
• Problem Solving/Decision Making	Is now:	• Problem Solving
We will <b>STOP</b> ...Assigning unrestricted numbers of Performance or Optional Factors	Instead we will <b>START</b> ...	Assigning up to four (4) Behavioral Factors
	And <b>begin</b> ...	• Documenting specific examples to support ratings
	As well as <b>START</b> ...	• Aligning employee behavioral factors with departmental core values

## HEAR Quick Reference Table (continued)

From the EPE System		To the HEAR Process
Stop Doing		Start Doing
We will <b>STOP</b> ...Discussing performance with the employee only at the evaluation	Rather, we will ensure we <b>START</b> ...	Discussing performance with employees throughout the year (quarterly or at least twice a year)
	And begin...	<ul style="list-style-type: none"> <li>Communicating expectations during the planning session</li> </ul>
	As well as...	<ul style="list-style-type: none"> <li>Provide on-going feedback and in-the-moment coaching as performance issues are encountered</li> </ul>
	And <b>START</b> ...	<ul style="list-style-type: none"> <li>Encouraging two-way channels of communication during work progress reviews</li> </ul>
We will <b>STOP</b> using the following rating scale and terminology:	Instead, we will we <b>START</b> ...	Using the following terminology to describe ratings:
5 = Outstanding	Is now:	5 = Exceptional
4 = Strong	Is now:	4 = Exceeds Expectations
3 = Effective	Is now:	3 = Meets Expectations
2 = Needs Improvement	Is now:	2 = Below Expectations
1 = Unacceptable	Is now:	1 = Needs Improvement
We will <b>STOP</b> ...Using the term "evaluation" to describe the final appraisal process	Instead we will <b>START</b> ...	Using the term "assessment" to describe the final rating process

## HEAR Quick Reference Table (continued)

From the EPE System	To the HEAR Process
Finally, we will <b>Continue Doing</b> the following activities that have proven to be effective and add value to the former EPE system and preserve these events throughout the implementation of the HEAR process:	
	<ul style="list-style-type: none"> <li>• Developing tasks and responsibilities for the employees</li> </ul>
	<ul style="list-style-type: none"> <li>• Providing challenging tasks and assignments that stretch the capabilities of the employees</li> </ul>
	<ul style="list-style-type: none"> <li>• Providing objective rating criteria</li> </ul>
	<ul style="list-style-type: none"> <li>• Issuing performance/work plans</li> </ul>
	<ul style="list-style-type: none"> <li>• Using established 30-day criteria for employees to receive written work plan for hire/rehire; beginning an assessment period, and promotion date</li> </ul>
	<ul style="list-style-type: none"> <li>• Conducting work progress review meetings</li> </ul>
	<ul style="list-style-type: none"> <li>• Using recommended procedures for work progress review meetings</li> </ul>
	<ul style="list-style-type: none"> <li>• Encouraging employees to grow</li> </ul>
	<ul style="list-style-type: none"> <li>• Recognizing superior performance</li> </ul>
	<ul style="list-style-type: none"> <li>• Providing professional growth and development opportunities</li> </ul>
	<ul style="list-style-type: none"> <li>• Following the established assessment schedule</li> </ul>
	<ul style="list-style-type: none"> <li>• Operating in the spirit of fairness, relevance, and completeness when documenting employee performance</li> </ul>
	<ul style="list-style-type: none"> <li>• Following the established appeal processes</li> </ul>

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